



SYRACUSE UNIVERSITY
Department of Earth Sciences

Department of Earth Sciences, Syracuse University: Graduate Program Guidelines
Revised and Updated July 2014

The Department of Earth Sciences, like Syracuse University as a whole, is built around the two central goals of research and teaching. In order to fulfill this mission, graduate students gain experience and expertise in three areas integral to the degree program: 1) Research—formulating and carrying out new and independent research; 2) Communication—written and oral dissemination of results, including the ability to create posters, give talks, write abstracts, papers and proposals; 3) Teaching—most students will teach a recitation or lab, maybe even a lecture course, at least once during their time at SU. All three of these skills are critical to a career in the geosciences, whether you stay in academia or go on to industry. Even if you choose a field that does not directly involve teaching, everyone benefits from the ability to present information in a logical manner and develop a coherent argument that comes from teaching experience. Other attributes that are important during your time as a graduate student are the ability to network and acquaintance with other scientists in your area of expertise.

These departmental guidelines are a supplement to the Graduate School regulations and procedures, which can be found at:

- > Graduate Rules and Regulations: <http://coursecatalog.syr.edu/2010/rules/graduate>
- > What You Need to Graduate: http://www.syr.edu/gradschool/em/current_whatyouneed.html

The department guidelines may be more restrictive than those of the graduate school. It is the responsibility of the individual student to confirm that all appropriate degree requirements are met. Many of the graduate school forms and procedures, at the time of this writing, are available on-line through the department website. It is **critically important** that students look for the latest updates/versions of these forms and procedures on the graduate school website when they are preparing to use these documents.

Many different departments in the University will keep official records of your time here. However, we strongly encourage you to keep a copy of each form that you complete. In addition, the department keeps a student record for each of you. It is essential that you give the graduate coordinator a copy of document/forms that you complete as part of your academic endeavor. This is for your protection in case your official files are misfiled or otherwise mishandled.

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Milestones – Sequence of Steps

1. Orientation

1.1 University Orientation - Each year the university conducts a TA (teaching assistant) orientation that is organized in two sections. The first section is for international students and the second section is for international and domestic students. All incoming Earth Sciences graduate students are required to attend regardless of their funding in their first year with the department. The opportunity to meet other students, explore the Syracuse area and learn the TA teaching requirements of Syracuse University are an important first step in becoming acclimated to the University community. In addition, a student's funding may change at any time during their tenure and having TA training from the beginning ensures that a student has multiple funding opportunities.

1.2 The Department of Earth Sciences Orientation – The departmental orientation program is conducted the week before classes begin. This orientation is intended to provide students with initial advising and program of study planning, departmental TA training and recitation and lab planning, driver safety and hazardous material chemical hygiene training, review of graduate school and departmental academic rules and regulations, library and departmental operations orientation.

2. Initial Advising:

Upon matriculation, and typically during the week before fall classes begin, you will meet with a *Temporary Advisory Committee* (appointed by the Director of Graduate Studies in consultation with your advisor) for an *Advisory Review*. The temporary advisory committee will typically consist of the chair or the DGS, your advisor, plus one other faculty members with broad expertise in your field of interest for a committee size of 3. The membership of your temporary committee will be chosen to reflect your interests, and you should consult with this committee when making academic decisions until a Permanent Advisory Committee has been selected. During the initial advisory review, the temporary committee will review your academic background, discuss your short-term and long-term goals, and help you with a suggested course of study for the first two or three semesters of your graduate study.

The department values a solid background in the Earth Sciences, but also recognizes that Earth Science is an interdisciplinary field, and that applicants for graduate study may have an undergraduate degree in another related field (e.g., biology, chemistry, physics). Such students are encouraged to apply to the program, as this diversity of expertise enriches us all. A certain amount of common knowledge and experience is necessary to maintain a cohesive and functioning graduate program and to provide high-quality instruction to undergraduate students in lab courses taught by TAs. To this end, we require incoming graduate students:

- to have taken, or to take during their first two years in residence, at least three distribution courses in the Earth Sciences, such as: Paleobiology, Sedimentology, Mineralogy, Structural Geology, Tectonics, Geochemistry, Geophysics, Climatology, Geomorphology, Paleo-oceanography, Paleoclimatology, Marine Geology and/or Hydrogeology; and
- To have successfully completed a full year (2 semesters) of Calculus (1 semester of which may be replaced with statistics, as applicable), Chemistry, and either Physics or Biology.

We also strongly encourage incoming students to have participated in a field course or comparable field experience, such as an NSF Research Experience for Undergraduates program.

Your background and coursework will be discussed with your advisory committee at the start of your graduate program to ensure that these requirements are satisfied. An advisory review checklist will be completed and filed in the student departmental record. See Attachment B. A transcript showing the successful completion of the required pre-requisite courses must be filed in the student's record in the department.

Students desiring to take one of the above distribution courses that is only taught at the undergraduate level may complete a proposal for independent study (forms available @ <http://registrar.syr.edu/forms/index.html>) to take it at the graduate level where appropriate, and the advisor will provide extra work to warrant graduate credit. Such courses will typically be taken as "EAR 690: Independent study," with the expectation that the student complete all requirements of the course plus whatever additional work is deemed appropriate for a graduate student. For example, if a student needs to fulfill a physics PHY212/222 pre-requisite, the student would fill out the independent study form in conjunction with their advisor indicating that the nature of the experience would be to take PHY212/222 with additional graduate level work to be supervised by their advisor. The student would need to seek permission from the instructor of PHY212/222 (they would sign under faculty sponsor signature), and their advisor. Once those signatures are obtained, the form will be given to the Academic Coordinator in Earth Sciences who will get the department chair's signature, scan a copy for the student's electronic file, and then will forward the form to the registrar's office. NOTE: The instructor may not want to sign the independent study because they will not receive credit for teaching you since the independent study is listed under EAR690. If this happens, the alternative is for the student to fill out a petition to faculty to take an undergraduate class as a graduate student. The instructor would perhaps then sign the form. This option is not optimal because your tuition credits will be taken but the course will not be counted toward your graduate degree. Please contact the Academic Coordinator with any questions, concerns or assistance that you need.

3. Formation of a Permanent Advisory Committee:

When you have decided on a thesis or dissertation topic and selected an advisor, you form a *Permanent Advisory Committee*, which is likely to have some overlap with your *Temporary Advisory Committee*. A permanent committee should be formed by the **end of the first year** of graduate study towards a degree. In consultation with your advisor, students will select committee members who are well qualified to assist them in their research program. The membership of the Committee must be approved by the Director of Graduate Studies and the Departmental Chair.

Permanent Advisory Committees may have members from outside the departmental faculty, but because of the expense of bringing committee members to campus for meetings, examinations and defenses, such members must be approved in advance by the departmental chair. A CV for the outside committee member must be provided for the student's file and Department Chair's review. Additionally, if a PhD committee has more than one member from outside the department, those external committee members must be approved by petition through the graduate school prior to the dissertation defense. Typically, travel costs for external members of the permanent advisory committee are paid from the advisor's external research funds. However, more committee meetings, examinations and defenses are now being undertaken using video-

conferencing, and this is an accepted alternative, although face-to-face meetings are still considered more desirable.

- A *M.S./M.A. committee* must have at least three members including your advisor. A larger committee may be approved where appropriate. In addition, another fourth faculty member, preferably from another department, must be added as the chair of the oral examination at the time of the MS oral thesis defense or written MA defense (grad reg. 6.4.6; see Section 12. Thesis or Dissertation Defense/Oral Examination).
- A *Ph.D. committee* will usually have 5 members including your advisor. At least 2 must be faculty members from the department. Normally the advisor is the Chair of the Permanent Advisory Committee until the time of qualifying exam and oral defense.

The committee works with the student in planning the degree program, primarily the research component, and should be kept informed of any changes in program of study (substitutions of courses, dropping courses, changes of research topic, etc.).

The Permanent Advisory Committee will constitute the *Examining Committee* for the Ph.D. qualifying exam. Note: The advisor cannot be the chair of the Ph.D. qualifying exam. The chair of the PhD qualifying exam is typically a faculty member from the department who is also on the advisory committee (see Section 9. The Ph.D. Qualifying Examination).

The Permanent Advisory Committee will constitute the committee for the final examination (*M.S. or Ph.D.* thesis defense) or the M.A. final written examination. However, the advisor cannot chair the Examining Committee for a *M.S.* thesis defense—this is undertaken by an additional S.U. faculty member preferably from another department. In the *Ph.D.* dissertation defense the chair of the committee must be a Syracuse University faculty member from outside the department (see Section 12. Thesis or Dissertation Defense/Oral Examination). Note that the Graduate School does not assign examination chairs and it is the student's responsibility to identify an appropriate chair.

The "*Formation of a Permanent Committee*" form is available on the department website and is Attachment C to this document. Students must complete the form, obtain the signatures of all committee members (who thus commit themselves to serve), the DGS and the Department Chair (who thus approve the committee). In rare cases the DGS or the Departmental Chair may call for modifications to the membership of permanent committees. The formation of a permanent committee does not require the approval of the Graduate School. The form must be filed in the student's record in the department and the student should retain a copy and give a copy to their advisor.

4. Annual Report and Program of Study:

Students turn in an *Annual Progress Report* (see attachment E) early in the spring (typically early February) to the Director of Graduate Studies. The annual progress report provides students an opportunity to check their progress in the program related to course work, research, publications, etc. and seek guidance from their permanent advisory committee. This report is completed in conjunction with a meeting with the advisor and the advisory committee, prior to submission. The report is approved by the Director of Graduate Studies and is subsequently filed in the

departmental file for the student. This report is cumulative starting with the first year and adding information each year until graduation.

Credit hour requirements of the graduate programs are as follows:

- The M.A. degree requires completion of 30 credit hours of graduate course work, at least 12 of which must be at or above the 600 level.
- The M.S. degree requires completion of 24 credit hours of graduate course work plus 6 credit hours of thesis work.
- The Ph.D. degree requires 72 credit hours of graduate work.
 - *Ph.D. students coming to the program with a M.S.* may receive credit for up to 30 credit hours from an accredited university (see grad reg. 4.5.3). A formal University petition (available @<http://registrar.syr.edu/forms/index.html>) must be filed to have those 30 credits formally credited. The form must be filled out and the student and their advisor must sign the form. The form is then given to the Academic Coordinator who will seek the remaining signatures and scan the form to the student's electronic file. The language in the body of the form should say something like: I respectfully petition to: "Have 30 credits from my master course work from [blank] University transferred and applied to my SU PhD program of study". The final transcripts from the previous university showing the masters completed must accompany the petition. An additional 42 credit hours are required. At least 12 of those 42 credit hours must be in coursework with the balance made up by thesis credits. *Ph.D. students coming to the program without a M.S.* must take at least 36 credits in course work (the equivalent of 24 M.S. course work credits plus 12 Ph.D. coursework credits). The balance of the 72 credit hours will be made up in thesis credits.

A Program of Study form, which is available from the Graduate School on-line at <http://www.syr.edu/gradschool/em/pdfs/ProgramofStudy.pdf> (see attachment D), summarizes the coursework you have completed during your graduate program and is required for graduation upon completion of your program. Graduate students will start developing this form at the initial advisory committee meeting. Each year the individual student will submit an annual progress report (see above), which will include an updated program of study form. Note that you do not have to submit this form to the Graduate School until the year you plan to graduate. Prior to the thesis or dissertation defense/oral examination, and with the advice and concurrence of the Research Supervisor and the Departmental Chair, the student will file the complete Program of Study form with the Graduate School. The student is responsible for the completion of the form including securing appropriate signatures, giving a copy to the Graduate Coordinator in Earth Sciences and to the graduate certification office, and ensuring that the form is delivered to the graduate certification office by the deadline required by that office, typically as many as six weeks prior to anticipated graduation.

5. Funding:

Graduate students are offered the following amounts of support, given satisfactory progress each year:

- MS student - 4 semesters
- PhD student - 8 semesters

A student on a TA is eligible for tuition waiver of 9 credits in the fall and spring semesters and 6 in the summer - for a maximum of 24 in one year. Although 24 credits is the maximum allowed for assistantships, “. . . for graduate assistants who do not need 24 tuition credits to complete their remaining degree requirements, **the department should offer only the tuition credits needed by the student to complete the degree requirements.** *More flexibility can be taken with PhD candidates . . .*” p. 2 (SU Graduate Assistantship policies and procedures 2014-15).

Students on RA's typically have their tuition credits paid for from external research grants at the 50% level with the other 50% coming from a pre-arranged cost sharing with the College of Arts and Science.

Funding for Research Assistantships is usually arranged by the Research Supervisor, but graduate students are strongly encouraged to seek their own supplemental funding through agencies like GSA or Sigma Xi, or by searching the databases located online at the Office of Sponsored Programs (<http://osp.syr.edu>). Ph.D. students in their first year of graduate study, or those in the final year of writing, may also be eligible for fellowships sponsored by NSF, NASA or other agencies, and students are strongly encouraged to explore all of those opportunities.

6. MA written comprehensive exam:

Upon, or very near to completion of 30 class credits, a MA student will undertake a comprehensive written exam. The student's advisor and two committee members will each submit a question to the chair of the exam; an appointed Earth Sciences faculty member. The exam chair will be selected by the chair of the department in consultation with the advisor and the Director of Graduate Studies. The questions will test the student's knowledge to a MA level, on general earth sciences topics, but also taking into account any specialist knowledge the student may have. The student will have 1 week to complete written answers to the three questions which will each be no more than 10 pages (12 point, Times New Roman, 1” margins, 1.5 spacing) exclusive of diagrams and references. The student submits answers to the chair of the exam, these are read by the chair, the advisor and the committee who vote to pass or fail. More than one negative vote constitutes a fail. In the case of a fail, the committee may offer one additional exam question, same format, to be completed in one week. If the student fails that written exam (more than one negative vote constitutes a fail), the decision is final. If the student passes that final question, then a positive result is recorded and the student is recommended for a MA degree.

7. Change in Degree Program: Changing from a M.S. to a Ph.D.

If a student is initially admitted into the department as a M.S. student, but subsequently wishes to change to a Ph.D. student, the student should discuss this with his or her advisor and advisory committee. The Department requires a student to make a formal request to the faculty to change from a M.S. to a Ph.D. This formal request is discussed at a faculty meeting and a decision made. Subsequent to an affirmative decision by the Earth Sciences faculty, the required form @ www.syr.edu/gradschool/em/pdfs/gradawd_forms/GradProgTransfer.pdf must be completed and submitted to the Academic Coordinator in Earth sciences. The Academic Coordinator will fill out the department section, scan a copy to the student's file and forward the form to Student Records on the first floor of Steele Hall. (Grad reg. 6.3 Change in Degree Program).

8. Preparation of Thesis or Dissertation Proposal:

All M.S. and Ph.D. degree students are required to write a thesis (M.S.) or dissertation (Ph.D.) proposal. Because the M.A. is a non-thesis degree, proposals are not required. Thesis or dissertation proposals should be written as early in the degree program as possible.

- Normally, M.S. students should write their thesis proposals in the **second semester**, but certainly not later than the start of the third semester, of their graduate degree programs.
- The Ph.D. dissertation proposal serves as the vehicle for the Ph.D. Qualifying Examination. Because Ph.D. students are required to take the Qualifying Examination no later than the fourth semester of their degree program (see below under Examinations), it follows that the dissertation proposal must be written by the fourth semester. *Students who do not complete research proposals in a timely manner may jeopardize continued departmental funding.*

Thesis or dissertation proposals should clearly state the nature of the scientific problem to be addressed, the approach to be used in solving the problem, and methods to be used (analytical, observational, statistical, etc.). Proposals should be concise; M.S. thesis proposals are typically 5-10 pages, but should not exceed 10 pages. Ph.D. dissertation proposals may not exceed 15 pages of text. Text is defined as 12 point, Times New Roman, 1.5 spaced, with margins of 1 inch, and exclusive of figures, tables, references, etc. The department keeps a record of previous research proposals and these can be used as examples. A *cover page format* for proposals can be downloaded from the website (see Attachment F).

The proposal must be approved by the advisor following a series of reviews and revisions. It is advisable to establish a time schedule and maintain regular contact with committee members to ensure that their comments and concerns are addressed in a timely manner. Note that reading, editing, and commenting upon thesis and dissertation proposals is a responsibility of faculty members, and students should not hesitate, after a suitable interval of time, to ask their committee members about the status of their proposals.

Thesis or dissertation proposals should be prepared in consultation with the advisor. **The general procedure for circulating and approving the research proposal is as follows:**

1. When the research supervisor is satisfied with the proposal, he or she will sign the cover sheet.
2. The proposal may then be circulated to the other members of the permanent advisory committee for their comments.
3. When comments from the advisory committee have been compiled, the student should consult with the advisor on the final form of the proposal.
4. All members of the advisory committee must sign the cover sheet of the final proposal when they are satisfied with it.
5. The proposal (both M.S. and Ph.D.) is then dated (date of circulation) and placed in the Earth Sciences main office so that it is made available to all other members of the faculty.
6. The student will circulate an email to the faculty and the department (see Attachment F2) indicating that the thesis proposal is available in the departmental office and will attach a PDF of the proposal to the email.
7. Faculty (or other interested parties) have one week from the date of circulation to object to the proposed work, *in writing*, to the Departmental Chair.
8. If no objections are received, the proposal is approved and will be signed by the

Departmental Chair and the DGS. The original signed copy will be retained in the student's departmental file.

9. The Ph.D. Qualifying Examination:

This requirement satisfies graduate school regulation 6.5.5 Qualifying Examination.

The Ph.D. Qualifying Examination is a departmental examination that must be taken by Ph.D. students **no sooner than the beginning of the third semester and no later than the end of the fourth semester**. The examination is scheduled only after a Dissertation Proposal has been approved and cover page and proposal filed in the student file.

If the Ph.D. student does not have a prior M.S. degree and is therefore seeking to complete 36 credits of class work rather than the 12 credits required of a student with an M.S. already, he or she may seek an extension by petitioning the faculty. In this case, he or she should plan to take the Ph.D. Qualifying Examination not sooner than the beginning of the fourth semester, nor later than the end of the fifth semester.

The examination is oral, and is based upon the Dissertation Proposal that serves as a vehicle for a broadly based examination. Recall that the chair of the qualifying exam is typically a faculty member from the department who is also on the advisory committee; the student's advisor cannot be the chair of the qualifying exam. The examination is not a "defense" of the proposal. Rather, the aspirant makes an oral presentation of the proposal that lasts about thirty minutes. Following this, the Examining Committee (the Permanent Advisory Committee) will examine the aspirant on various subjects that are germane to the proposed research. The examination is designed to determine whether the aspirant has the research skills, appropriate conceptual abilities, and background knowledge to carry out advanced scientific research. Any subject matter, including basic earth science knowledge, which may be related to the proposed research, is "fair game" for questioning. However, aspirants will not be asked questions that are unrelated to the proposed research.

All faculty members are invited to attend the examination presentation, but if they wish to attend or participate in the questioning, they must remain until the examination is completed and participate in the Committee's discussion of the outcome. Only the Examining Committee, however, votes on the outcome. The result of the examination shall be Pass or Fail. More than one negative vote constitutes failure of the examination. Should the Examining Committee decide that the results of the oral examination are inconclusive, it may schedule a written examination to be taken within one week of the oral examination; in this case, the committee vote may be deferred until evaluation of the written examination is completed.

Students who pass the Qualifying Examination are advanced to "Candidacy for the Ph.D. Degree" assuming that all requirements are met except dissertation and oral examination (See Graduate School regulation 46.6). If the student fails the examination, one additional attempt may be made, but not sooner than three months after the initial attempt.

If the examination is not passed on the second attempt, the student's doctoral program will be terminated. Examining Committees also have the option to grant a "Pass" that is conditional upon limited additional course work, reading, etc. and may require a further committee

examination or review of such additional work. If this is the case the committee will reconvene at the appropriate time to discuss whether the student has met the additional requirements. The limited additional requirements undertaken by a student to proceed to Ph.D. candidacy should a pass be conditional shall be accomplished within 6 months of the examination. A committee may also recommend that the student undertake a M.S. degree should he or she not perform well in the Ph.D. qualifying exam.

Documentation Requirements:

- The student must inform the faculty and graduate coordinator of their qualification exam date and location **two weeks in advance**. This notice will be by email, see attachment F2.
 - The chair of the examining committee (usually a faculty member from the department who is also on the advisory committee) shall complete Attachment G, Qualifying Examination Disposition Form, and send it to the faculty of the Department of Earth Sciences following the examination. The original will be retained in departmental records, with copies given to the student, other members of the committee, the Director of Graduate Studies and a copy will be sent to the graduate school certification office.

NOTE: The graduate school regulation 6.5.7 Continuity of Study states: “The maximum time for completion of a doctoral degree is five years from the end of the semester in which the student was admitted to candidacy. Requests to extend this limit must be in writing and are subject to the approval of the academic unit and the Dean of the Graduate School.”

10. The Thesis (M.S.) or Dissertation (Ph.D.):

The thesis (M.S.) or dissertation (Ph.D.) is the written presentation of research accomplished. The research phase of a graduate program is generally the most exciting and productive part. Research by graduate students is normally done in close consultation with the Research Supervisor/advisor and the Advisory Committee. Research studies vary widely because of the breadth and interdisciplinary nature of earth science. However, the department expects that all research done by its students will be of the highest quality, involving careful study of significant scientific problems while adhering to ethical standards.

The Department of Earth Sciences encourages M.S. and PhD candidates to prepare theses or dissertations in a format that is suitable for publication and will accept manuscripts that constitute one or more articles ready for submission to journals. Theses or dissertations may also be submitted in a standard, or traditional, format. The number of articles (for peer reviewed journals of international merit) required for the thesis or dissertation will depend upon the subject studied. One journal article manuscript is typically required for the M.S. thesis and three journal article manuscripts are typically required for the Ph.D. dissertation. The format of the thesis or dissertation must be approved by the Advisory Committee and the Director of Graduate Studies.

Graduate School Procedures: M.S. theses and Ph.D. dissertations must comply with the general requirements of the Graduate School. Students who are approaching the final stage of their programs should review the materials provided by the Graduate School through the “What You Need to Graduate” Webpage http://www.syr.edu/gradschool/em/current_whatyouneed.html, including the dates and deadlines, requirements for commencement, the thesis/dissertation defense checklist, and the dissertation submittal checklist. Students are responsible for reviewing and following the procedures and policies given by the Graduate School.

Specifics of Doctoral Dissertations and Master's Theses Format: Please refer to the following link for the graduate school requirements regarding format:

<http://www.syr.edu/gradschool/pdf/emdissertation/Doctoral%20Dissertation%20%20Masters%20theses%20Format%20Guidelines.pdf> . Dissertations that are tabled for defense must be in the approved format. See the detailed format guidelines available from the graduate school (also linked to as Attachment H online).

Vancouver Protocol: The Department of Earth Sciences endorses and follows the guidelines of the Vancouver Protocol on research policy and authorship. Important components of the Protocol that are particularly relevant to the department are summarized at the **end** of these guidelines. The master document can be found at: <http://www.icmje.org/>.

The Writing and Approval Process and Timeline: Students, particularly for the PhD, may write their dissertation incrementally over time, particularly if they are preparing a series of journal manuscripts that will ultimately be compiled for the dissertation. Such development of the dissertation or thesis over time is preferable to trying to write the entire document at the end of the program. With that in mind, the writing and approval process, even for one individual journal article manuscript, may take *more than six months* after *completion of the first draft!* More time may be required if your writing skills are still being honed or if you write primarily during the summer, when faculty may be away from the department doing field work or other research work. It is important that students communicate clearly with their advisor regarding the expectations of how long it will take for the advisor to review drafts of the thesis or dissertation chapters and return comments. Some advisors prefer to see an entire draft, complete with figures and tables, and some prefer to see sections of the manuscripts as they develop.

The general steps for approving the thesis or dissertation for the oral defense are:

1. Advisor and student exchange drafts of the thesis or dissertation until the advisor considers the document ready for defense. This process can take months and should be planned carefully between the advisor and student.
2. Once the advisor approves the text, figures, tables, etc., and considers them to be in final form, the student sends a copy of the final document to his or her committee members for approval. In general, committee members should evaluate whether the document is ready for defense within two weeks, although detailed comments may not be provided until the actual defense date. When the committee agrees that the document is ready for the defense, they sign a preliminary cover page indicating their approval (See Attachment H1).
3. The final “defense version” of the thesis or dissertation, as approved by the advisory committee, is then given to the department graduate coordinator for public viewing. The defense version of the thesis or dissertation must be available for public viewing **at least 3 weeks (21 days)** prior to the defense date per the graduate school regulation 6.5.9 (see below). At this time, the student also submits a formal request to schedule the exam date with the graduate school: http://www.syr.edu/gradschool/em/current_whatyouneed.html, look for request for examination form.
4. The student sends an email notice to faculty, the Director of Graduate Studies and the department graduate coordinator **three weeks** in advance of the oral examination/defense, indicating the advisor has approved the thesis or dissertation for defense and it is

available for public viewing. Students should attach a PDF copy of their dissertation, or a digital link (e.g. a Dropbox link) to the dissertation, to the email. Be sure to attach the preliminary cover page (See Attachment H1).

11. Thesis or Dissertation Defense:

The graduate school has very specific procedures that must be followed to obtain clearance to schedule a thesis or dissertation defense (e.g. the oral exam). It is important that students review and follow those graduate school policies and procedures. Please refer to the graduate school regulations and the “What You Need to Graduate” webpage, which is available at http://www.syr.edu/gradschool/em/current_whatyouneed.html (and as Attachment I). Note that if a PhD committee has more than one member from outside the department, those external committee members must be approved by petition through the graduate school prior to the dissertation defense. The following information is additional departmental requirements and explanations.

One week prior to the defense, the student creates a letter size poster (portrait orientation) announcing the title of the thesis, your name, date, time and place of the defense. The poster is then posted around the Heroy Geology Laboratory. A sample is included as Attachment K.

Defenses of theses and dissertations are public events in which the student presents the results of his or her research and then answers questions. The Chair of the examining committee typically explains the rules of the exam to the audience prior to the exam starting. Typically, the advisor introduces the defending student.

The normal format is a presentation lasting thirty to forty-five minutes. The floor is then opened to questions from the audience. Normally, the Examining Committee does not ask questions at this time. After the general audience has asked questions, it will be excused and the Examining Committee will ask questions of the candidate to elucidate any aspects of the research it deems necessary. For both M.S. and Ph.D. candidates, the Defense is a final examination. Questioning by the Examining Committee generally lasts about 2 hours, but may go longer.

In addition to the Graduate School requirements (<http://www.syr.edu/gradschool/em/pdfs/Steps.pdf>), the final version of the thesis/dissertation needs to be given to the Earth Science Department Graduate Coordinator. A copy of the dissertation also resides in the Geology Library.

Appendix: Vancouver Protocol

1. Objectives:

1a: The Protocol aims to provide an understanding of the qualifications for authorship and the responsibilities of each author for a submitted manuscript or a presentation at a conference.

1b: The guidelines also ensure that the contributions of students and staff (or others) who participate in research activities leading to publications are acknowledged in a fair and proper manner.

1c: To provide a basis for the order of authorship in multi-authors papers or presentations.

2. Qualifications for authorship

2a: Qualification for authorship requires substantial participation in a research project. The following conditions must all be met:

2a (i) conception and design, or execution, or analysis and interpretation, of at least part of a research output in the author's field of competence

2a (ii) drafting at least part of the article or revising it critically for important intellectual content

2a (iii) participation in approval of the version to be published

2b: Any author, regardless of order of authorship must be able to take scholarly responsibility (inside and outside the University), for at least that part of the output in the person's area of competence.

2c: Some contributions to the research will not qualify for authorship but should be recognized in the "acknowledgement" section, or elsewhere in the paper/presentation. Examples of these contributions may include: designing and maintaining apparatus, statistical advice, data collection only, administrative support and data entry, scholarly advice, conducting interviews, translation and transcription, providing only physical resources or funding, leadership or membership of a research entity under which the research was carried out without fulfilling 2a(i) or 2a(ii). Initialization or conceptualization of the original idea upon which the research was based without fulfilling 2a (i) or 2a (ii).

2d: No-one can be included as an author, or acknowledged for a contribution, against their wishes.

2e: Authorship (especially the order of authors) can often be a delicate subject. Thus, authorship as part of a research project should be discussed at a relatively early stage, and reviewed when there are changes in scope or involvement in a project.

2f: The first or primary author usually writes the first draft of a research paper or other research product.

2g: Qualification for authorship is usually decided by the other authors. This applies to whether paid consultants to a research team should be authors.

Common practice is that consultants who contribute substantially to the intellectual research output are included as authors. However, consultants who do not contribute in a substantial way or who contribute only through data collection or analysis, but not to the intellectual part of the research are not normally included as authors, but are acknowledged.

3. Authorship order

3a: The order of authorship is usually decided by intellectual contribution, with the researcher making the largest contribution being the first author, or to select where they want to be in the list of authors.

3b: The order of other authors in a multi-author publication is also decided by their relative intellectual contribution, although discipline-specific variations also determine authorship order (e.g., alphabetical after the major contributors, the research advisor is added last - provided they meet the criteria of 2a (i) and 2a (ii)).

3c: Authorship order should be negotiated between authors, but usually the first author plays a lead role in determining order.

3d: Authors in a multi-author publication may choose to simply list authors in alphabetical order or honor a particular author by placing them first.

4. Graduate students as authors

4a: If based upon the research conducted for a Ph.D. or M.S., the student usually qualifies as the primary (first) author. It is regarded as unusual if a graduate student who fulfills the requirements of a M.S. or Ph.D. and is awarded that degree by a university would not fulfill the requirements to be the first author.

4b: For MS degrees that involve coursework and a research report for MS, honors and undergraduate research projects, the student may or may not be the primary author; this depends on the relative intellectual contribution to the final product. It would be possible for a student, particularly an undergraduate student to collect data, but not be able to meet 2a (i) and 2a (ii) and hence lose their entitlement to authorship.

4c: Usually, the results of research undertaken by a student (graduate or undergraduate) are not submitted for publication until there has been interaction with the student's advisor.

4d: If the student's advisor fulfills the criteria of 2a(i) and 2a(ii) above (with respect to a student's research project) and the student fails to publish within a reasonable time period (usually 2 years since graduation), then the advisor will have the right to publish the findings as first author.

5. Multi-institution involvement in publication

5a: If multiple institutions (universities, government research organizations, institutes in other countries) pay careful attention to 2e.

5b: Most, if not all reputable institutions and universities subscribe to the Vancouver Protocol, therefore it should be unlikely that disagreements arise as to qualification or order of authorship.

If disagreements do arise, then the guidelines of the institution of the first author usually apply. If disagreements cannot be amicably settled, then these are referred to the Vice-Chancellor for Research (Provost) for discussion with their counterpart(s) at the other institutions.

6 Author obligations

6a: Each author has the obligation to ensure the authenticity and accuracy of the research output and publication content, at least in their area of expertise.

6b: Should a research product or publication prove to be fraudulent (which brings the university into disrepute), the university considers all authors to be liable, until shown otherwise. Primary or first authors are under a greater obligation and will carry a greater burden of responsibility.

6c: Selection of research publication. Be aware that copyright usually passes to the publisher of a research output and that the publisher may have their own set of rules (e.g., all author lists are alphabetical) which may override the wishes of you and your co-authors.